



NASA Headquarters  
Washington, DC 20546

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HOWI1450 - M020  
REVISION D  
November 17, 1999

# **Code M**

## **Correspondence and Action Tracking Process**

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**Code M  
Correspondence and Action Tracking Process**

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### DOCUMENT HISTORY LOG

Status (Draft/ Baseline/ Revision/ Canceled)	Document Revision	Effective Date	Description
Baseline		12-14-1998	
Revision	A	04-16-1999	Revised as a result of the DNV Pre-Registration Audit. Changed Section 7 to agree with Retention Schedule of NPG 1441.1B.
Revision	B	09-15-1999	Revised section 6 Flowchart Reference 5. This revision is a result of the DNV Registration audit which identified a minor non conformance (NCN 01/1A).
Revision	C	11-5-1999	Revised sections 5 & 6 to describe the action tracking process in greater detail. Also changed Section 7.
Revision	D	11-17-1999	Revised sections 5.3 and 6.3

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## 1.0 PURPOSE

This OWI prescribes the activity steps required to track Code M correspondence and actions within the NASA Headquarters, Office of Space Flight.

The Associate Administrator (AA) for the Office of Space Flight (OSF) is responsible for maintaining this document. The controlled version of the manual is available on the world wide web (WWW) via the HQ ISO 9000 Document Library for the ISO 9000 QMS at <http://hqiso9000.hq.nasa.gov>. By definition, any printed version of this OWI is uncontrolled. Any proposed revision to this manual is submitted by the AA for OSF or his designee. The AA for OSF or his designee, authorizes approval of the revision after an internal review by the Document Control Board.

## 2.0 SCOPE

The OWI process steps span activities that are initiated by the receipt of mail, correspondence or action items, the tracking to closure, and culminate in the response to that action. The process includes monitoring and periodic reporting.

## 3.0 DEFINITIONS

The following definitions are offered to assist the user in understanding the process described in this OWI.

<u>Correspondence</u>	Written communication
<u>Action</u>	An assignment requiring the completion of an activity or response
<u>Action Officer</u>	The OSF official responsible for responding to an action
<u>CIC</u>	The office at NASA Headquarters responsible for tracking actions on behalf of the Administrator (i.e. Code CIC)
<u>Action Manager</u>	The person within the Office of Space Flight responsible for administering the action tracking process on a day-to-day basis.

## 4.0 REFERENCES

The following documents contain provisions that, through reference in this OWI or in policy or procedure documents, constitute the basis for the documented procedure:

HQSM 1200.A.1	Headquarters Quality System Manual
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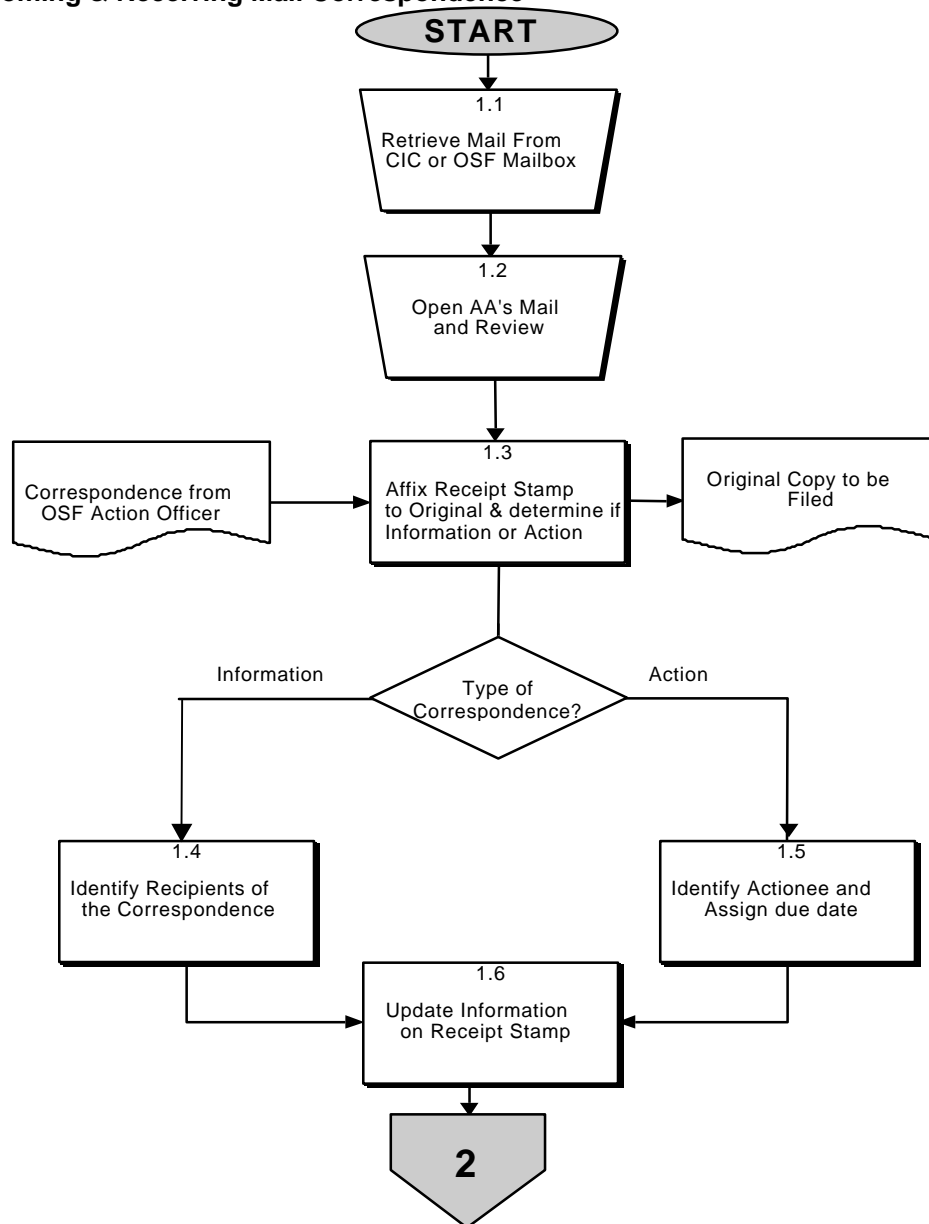
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## 5.0 FLOWCHART

The correspondence & Action Tracking Process is comprised of 3 subprocesses that interrelate & are dependent upon each other. The 3 subprocesses are:

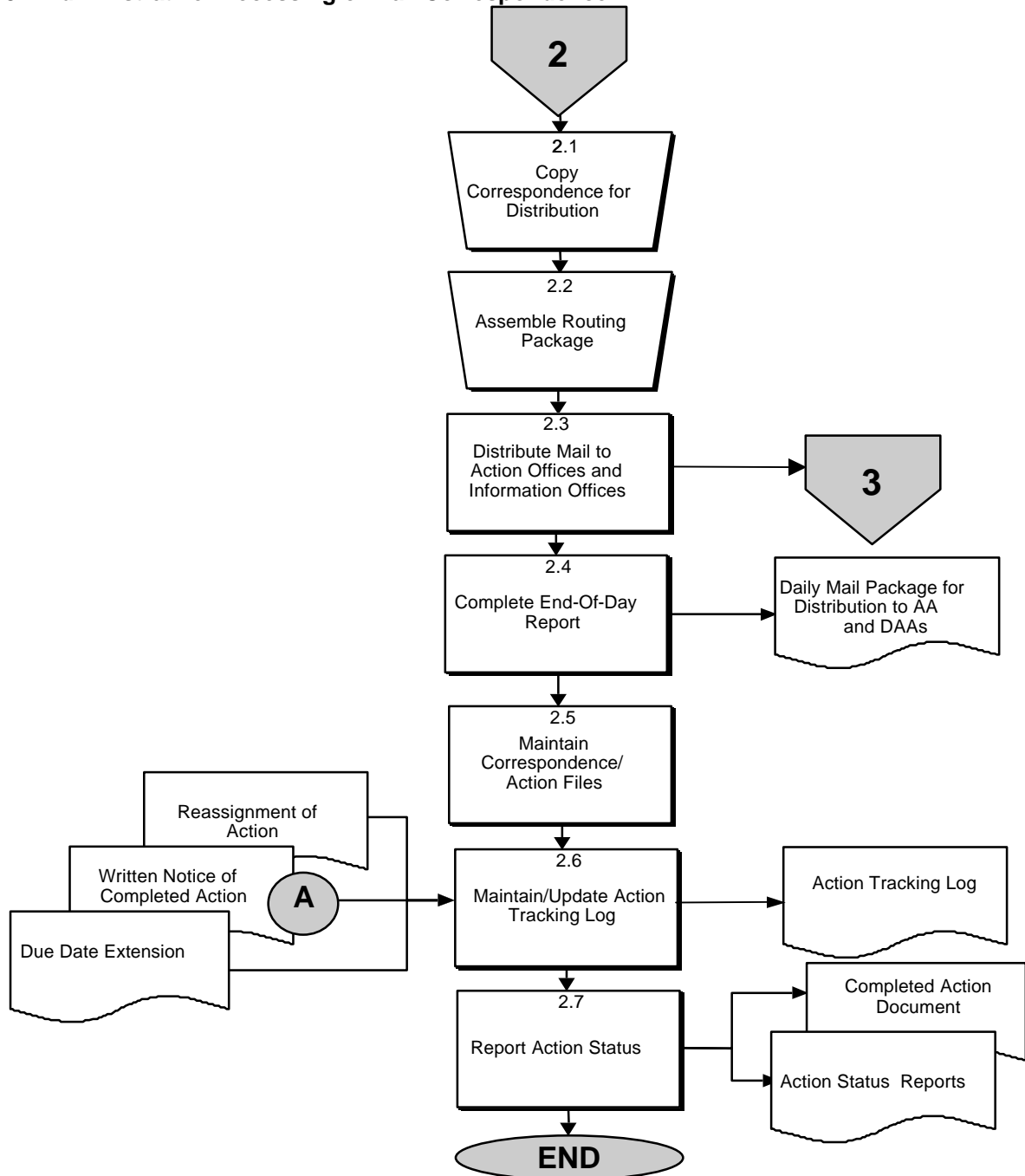
- 5.1 Incoming & Receiving Correspondence
- 5.2 Administrative Processing of Mail Correspondence
- 5.3 Correspondence Action Tracking

### 5.1 Incoming & Receiving Mail Correspondence



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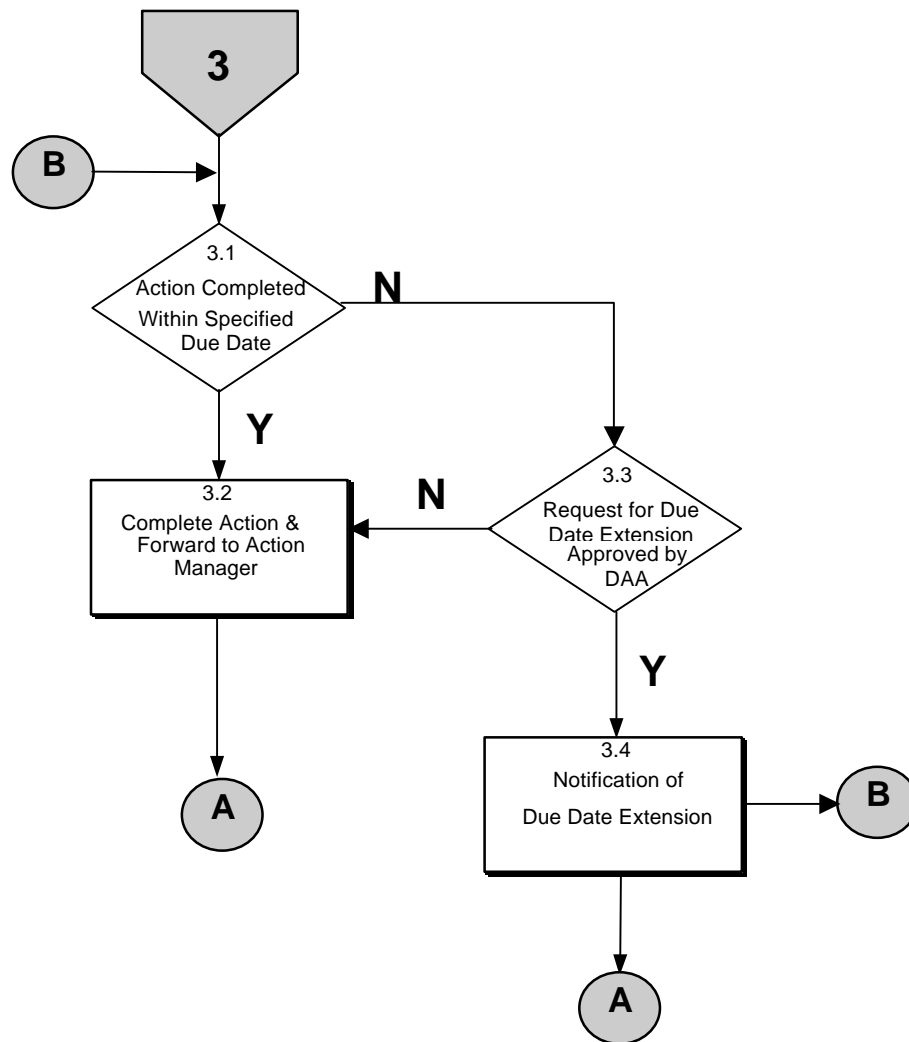
## 5.2 Administrative Processing of Mail Correspondence



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### 5.3 Correspondence Action Tracking

#### ACTIONEE





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## 6.0 TRACKING CORRESPONDENCE AND ACTIONS PROCESS STEPS

It is essential that Code M provide a quality response to correspondence in a timely manner. This requires the careful handling of mail received from internal as well as external sources. The process includes several checks and balances to ensure the delivery of a quality response. Similarly, specific actions resulting from correspondence received, or service requested must be tracked to ensure timely completion. The process is composed by a series of activities described below.

### 6.1 Incoming & Receiving Correspondence

<u>Actionee</u>	<u>Flowchart Reference</u>	<u>Action</u>
Code M Action Manager	1.1	Retrieve mail from Code CIC (Room 9S56) or OSF Mailbox (Room7B34), distribute incoming mail to appropriate mail slots (with the exception of the AA's mail)
Code M Action Manager	1.2	Open AA's Mail and review/read it
Code M Action Manager	1.3	Affix receipt stamp to original & determine type of correspondence, i.e Info or Action. NOTE: Actions may be received directly from OSF action officers. These enter the process at this point and are tracked like all other actions.
Code M Action Manager	1.4	Identify subject and recipients for correspondence that has been evaluated and determined to be for information only.
Code M Action Manager	1.5	Create an entry in the Action Tracking Log to include the identification of the office assigned action, the action tracking number and the due date. The due date is 10 working days from the date it is received in the mail center, unless in the letter, the writer or author is asking for a response by a particular date.
Code M Action Manager	1.6	Complete the information on the receipt stamped original correspondence by transferring the numbers and identification data from the log.

### 6.2 Administrative Processing of Mail Correspondence

Code M Action Manager	2.1	Make copies of the correspondence as appropriate to prepare for distribution.
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Code M Action Manager	2.2	Assemble packages for distribution
Code M Action Manager	2.3	Distribute all Informational mail and Actions as appropriate
Code M Action Manager	2.4	Complete end-of-day processing. This includes preparing a complete package of all the incoming mail that was logged in for the day and distributing to the AA and the 6 DAAs
Code M Action Manager	2.5	Maintain correspondence and action files. Correspondence is maintained as delineated in Section 7.
Code M Action Manager	2.6	Maintain Action Tracking Log. The log is updated whenever a written notice is received. Such notices may include a redesignation of the action office, a notice of due date extension, or the completion of the action. Reference to the action log indicates current action status.
Code M Action Manager	2.7	Report Action Status. Several action status reports are prepared to assist in ongoing action management; Pending Report, Overdue Action Report, and the Daily Action Status Report. These reports are sent to the AA and the 6 DAAs.

### 6.3 Correspondence Action Tracking

Action Officer	3.1	The action office, upon receiving the incoming correspondence action, becomes responsible for preparing the response. If the action officer completes the action within the specified time period, he proceeds to Step 3.2. If the action officer believes he cannot meet the specified time period he proceeds to Step 3.3.
Action Officer	3.2	The action officer, having completed the assigned correspondence within the specified time, forwards the action response to the action manager and action is "closed".
Action Officer	3.3	The action officer must advise the DAA of the need to extend the response period with appropriate justification for extension & recommended new due date. If approval to extend the due date is granted, actionee proceeds to Step 3.4. The first extension can be granted verbally, subsequent extensions will be

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documented on the justification section of the incoming correspondence action sheet by the actionee and signed by the DAA. If approval is not granted, the actionee proceeds to Step 3.2.

Action Officer  
the

3.4

The action officer must advise the action manager of new due date and provide a copy of the extension justification section of the incoming correspondence action sheet (if this is the second extension) to the action manager for updating the action tracking log.

## 7.0 RECORDS

RECORD IDENTIFICATION	OWNER	LOCATION	RECORD MEDIA: ELECTRONIC OR HARD COPY	SCHEDULE NUMBER AND ITEM NUMBER	RETENTION/DISPOSITION
Completed Action Document	M	M	Hardcopy	Schedule 10 4C	Destroy when 2 yrs old.
Action Tracking Log	M	M	Hardcopy	Schedule 1 78C	Destroy or delete when no longer needed.
Action Status Reports	M	M	Hardcopy	Schedule 1 78B	Destroy or delete when no longer needed.